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6 **Methods to estimate aboveground wood productivity from long-term forest**  
7 **inventory plots**

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36 **Abstract**

37 Forest inventory plots are widely used to estimate biomass carbon storage and its change over  
38 time. While there has been much debate and exploration of the analytical methods for  
39 calculating biomass, the methods used to determine rates of wood production have not been  
40 evaluated to the same degree. This affects assessment of ecosystem fluxes and may have wider  
41 implications if inventory data are used to parameterise biospheric models, or scaled to large  
42 areas in assessments of carbon sequestration. Here we use a dataset of 35 long-term Amazonian  
43 forest inventory plots to test different methods of calculating wood production rates. These  
44 address potential biases associated with three issues that routinely impact the interpretation of  
45 tree measurement data: (1) changes in the point of measurement (POM) of stem diameter as  
46 trees grow over time; (2) unequal length of time between censuses; and (3) the treatment of  
47 trees that pass the minimum diameter threshold (“recruits”). We derive corrections that control  
48 for changing POM height, that account for the unobserved growth of trees that die within census  
49 intervals, and that explore different assumptions regarding the growth of recruits during the  
50 previous census interval. For our dataset we find that annual aboveground coarse wood

51 production (AGWP; in Mg dry mass ha<sup>-1</sup> year<sup>-1</sup>) is underestimated on average by 9.2% if  
52 corrections are not made to control for changes in POM height. Failure to control for the length  
53 of sampling intervals results in a mean underestimation of 2.7% in annual AGWP in our plots for  
54 a mean interval length of 3.6 years. Different methods for treating recruits result in mean  
55 differences of up to 8.1% in AGWP. In general, the greater the length of time a plot is sampled  
56 for and the greater the time elapsed between censuses, the greater the tendency to  
57 underestimate wood production. We recommend that POM changes, census interval length, and  
58 the contribution of recruits should all be accounted for when estimating productivity rates, and  
59 suggest methods for doing this.

60 **Key words:** aboveground coarse wood production, biomass, carbon, census interval, diameter,  
61 tropical forest

## 62 **1 Introduction**

63 The role of forests in carbon cycling has gained increasing attention in recent years. Globally, forests  
64 represent a carbon stock of  $861 \pm 66$  Pg C, with 42% of this in live biomass (Pan et al., 2011). The  
65 greatest carbon stocks and fluxes are found in the tropics, with major impacts associated with both  
66 natural processes and anthropogenic land-use change activities. Tropical forests contain an  
67 estimated 55% of global forest carbon (Pan et al., 2011) and account for 34% of terrestrial gross  
68 primary production (Beer et al., 2010). Between 1990 and 2007, tropical intact forests were  
69 estimated to represent a carbon sink of  $1.2 \pm 0.4$  Pg C year<sup>-1</sup>, of similar magnitude to the net  
70 anthropogenic carbon loss in tropical forests due to deforestation and secondary regrowth (Pan et  
71 al., 2011).

72 Methods for estimating aboveground live carbon stocks from discrete permanent sample plots are  
73 relatively well-established in tropical forests, with different plot networks having largely converged  
74 on common field methods (e.g., Condit, 1998; TEAM Network, 2010; Phillips et al., 2009a) and  
75 similar analytical techniques (e.g., Chave et al., 2008; Lewis et al., 2013; Phillips et al., 2009b).  
76 However the estimation of aboveground wood production from the same type of long-term plots

77 has not been given the same degree of attention. For all ecologists interested in understanding and  
78 comparing key aspects of forest ecosystem functioning, as well as for forest management, the  
79 quantification of atmosphere-biosphere carbon fluxes and the effects of climate variability on forest  
80 productivity (Tian et al., 1998), having access to reliable and comparable estimates of wood  
81 production is critical. For example, wood production must be accurately estimated in order to assess  
82 the role that tropical forests appear to play in buffering the increase in atmospheric CO<sub>2</sub>  
83 concentration caused by human activity. In future the carbon uptake of tropical forests could be  
84 reduced or even reversed (Huntingford et al., 2013), and if this were to occur by warming or drying it  
85 could lead to positive feedback further enhancing climate change (Friedlingstein et al., 2006).

86 Our interest lies in coarse wood production, as the major long-lived component of net primary  
87 production (NPP). As the portion of gross primary production (GPP) that is not lost in respiration,  
88 NPP is determined by both GPP and carbon use efficiency. Components of NPP include aboveground  
89 and belowground wood production; leaf, flower, and fruit production; fine root production; and the  
90 production of volatile organic carbon compounds and root exudates (Malhi et al., 2011). Coarse  
91 wood production represents tissues that contribute to the long-term storage and sequestration of  
92 biomass carbon, and is also the component with the greatest relevance to forestry studies (Blanc et  
93 al., 2009). For these and practical reasons most inventory plot studies measure the aboveground  
94 fraction of coarse wood production (AGWP).

95 The estimation of AGWP normally involves the repeated measurement of stem diameter ( $D$ ) for all  
96 stems within a defined area (an inventory plot), across a number of census intervals. Aboveground  
97 biomass (AGB) estimates for each census are obtained using allometric equations. However there  
98 remains no single agreed method for the derivation of AGWP from these repeated measures.

99 Although here we consider solely methodological effects on productivity estimation, equivalent  
100 methods can also, if required, be used for the calculation of losses of live coarse wood from the  
101 system through mortality. This will avoid any apparent imbalances in net fluxes being driven by  
102 methodological artefacts.

103 To obtain the most accurate estimates of AGWP it is preferable to use a long sampling period. This  
104 reduces the signal-to-noise ratio, minimising the impact of hydrostatic flex that may affect the  
105 measurement of some trees (Sheil, 1995), and minimising small measurement errors, which can  
106 have disproportionate influence across short census intervals. It also ensures that AGWP estimates  
107 represent an average of different years with different conditions, reducing uncertainties relating to  
108 the impacts of short-lived disturbances and stochastic mortality events, as well as potentially larger-  
109 scale events such as droughts or insect outbreaks. Long sampling periods therefore enable more  
110 accurate comparisons between plots. However, long sampling periods and long intervals between  
111 individual censuses also increase the chance of encountering problems associated with three factors  
112 that affect AGWP estimation, as explained below.

113 Firstly, individual trees naturally tend to increase in height, stem and crown diameter over time. As a  
114 tree grows, the need for stabilisation is satisfied in many tropical species by progressive  
115 development of root buttresses. Other species may have adventitious or prop roots that move  
116 upwards through time. The point of measurement (POM) for stem diameter is normally set at 1.3m  
117 or a fixed height above buttresses, but as deformities creep up the trunk, POM changes are often  
118 necessary (Sheil, 1995). These will affect an increasing number of trees with increasing time elapsed  
119 since the first measurement. The new POM will typically be at a higher point, where the stem has  
120 lower  $D$  due to stem taper (Fang and Bailey, 1999). The existence of stem taper, which can vary  
121 greatly between species (Poorter and Werger, 1999), means that  $D$  measurements taken at  
122 different POMs are not directly comparable, and treating them as such would bias growth estimates  
123 (King, 1981; Niklas, 1995). Procedures are therefore required to correct for this impact.

124 Secondly, the unobserved growth of trees that subsequently die within an interval represents a  
125 source of bias closely related to interval length (Sheil and May, 1996). The longer the interval, the  
126 more unobserved growth there will be, both from previously measured stems and from unmeasured  
127 stems that pass the minimum diameter threshold and subsequently die within the same interval

128 unrecorded (Lewis et al., 2004; Malhi et al., 2004; Sheil and May, 1996). Clearly the relative  
129 importance of this effect increases with increasing census interval length.

130 A third origin of uncertainty in AGWP measurements is the approach used to deal with recruits, i.e.  
131 those trees that have reached the minimum measured  $D$  threshold by the end of a given census  
132 interval. Since these trees were not measured at the start of the interval, their growth within the  
133 interval is unknown. Two common approaches have been used: assuming growth over the interval is  
134 only that greater than the diameter measurement threshold in the study (typically 10 cm; i.e. a new  
135 recruit of 11 cm is assumed to have grown 1 cm); or recruits were 0 cm in the previous census  
136 interval (Clark et al., 2001; Malhi et al., 2004). The fraction of AGWP associated with recruits, and the  
137 concomitant degree of uncertainty, will increase with mean census interval length.

138 Other factors could influence productivity estimates, for example the choice of procedures used to  
139 deal with missing or extreme values, the choice of allometric equation, the carbon fraction (Martin  
140 and Thomas, 2011), the belowground: aboveground biomass ratio assumed (Deans et al., 1996) and  
141 estimation of wood density (Flores and Coomes, 2011). These are important concerns but beyond  
142 the scope of this paper's focus on methodological considerations related to processing accurately  
143 collected data.

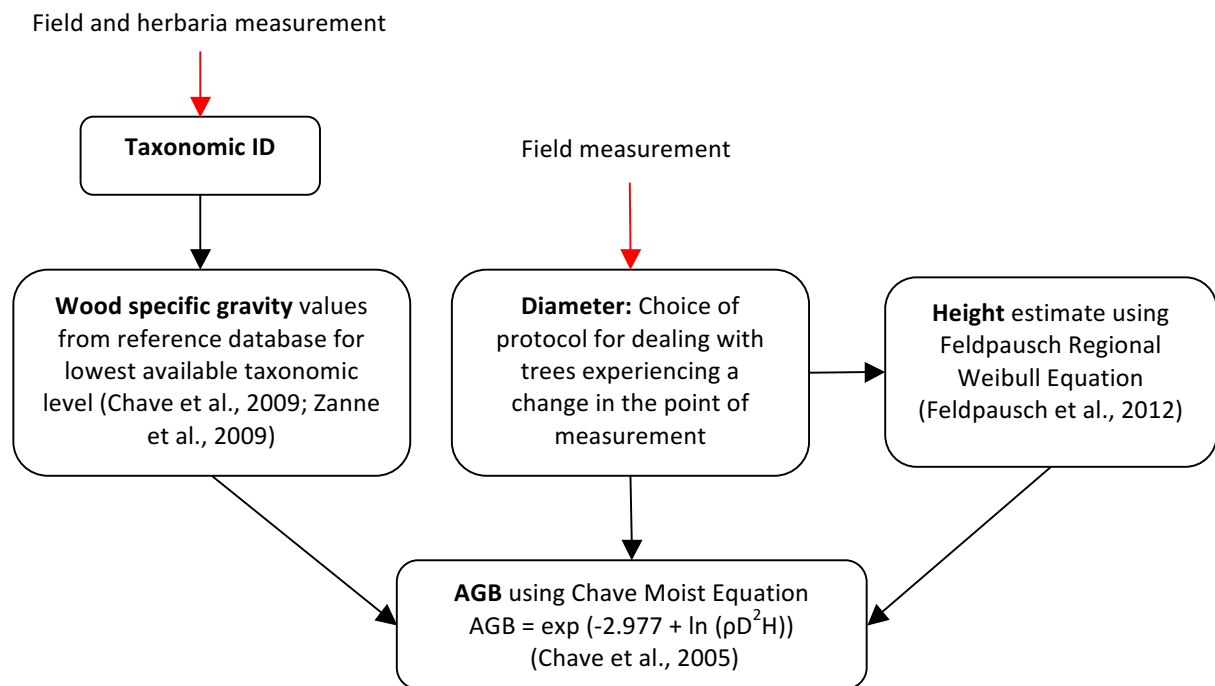
144 We present procedures developed to minimise the biases associated with POM changes and census  
145 interval length, and make explicit how the treatment of recruits can alter results, using a large  
146 number of forest plots to assess impacts on AGWP rates. We review a set of methods for AGWP  
147 estimation, evaluate the biases, and provide recommendations for the estimation of AGWP from  
148 permanent sample plots in tropical forest.

## 149 **2 Materials and Methods**

150 Thirty five long-term forest inventory plots from Western Amazonia were selected from a single  
151 database ([www.forestplots.net](http://www.forestplots.net), Lopez-Gonzalez et al., 2011), all part of the RAINFOR network. To

152 ensure that plots were appropriate for the investigation of how methodologies for POM changes,  
153 census interval length and recruitment affect productivity, we used only plots with at least three  
154 censuses over a period of at least 10 years, using only censuses where the POMs had been recorded  
155 in the database by the authors. To ensure accurate wood density values could be used, we selected  
156 plots that had been visited by a botanist, with >80% of stems identified to genus level (mean 97%).  
157 All plots were in mature old-growth forests. Plot size ranges from 0.88 ha to 1 ha, with mean number  
158 of census intervals of 4.9 and mean interval length of 3.6 years. The sites span lowland Western  
159 Amazonia, from seasonal forests near the savanna margins in the south to the wet upper Amazon.  
160 The selected plots are listed in Table S1.

161 We estimated the aboveground biomass (AGB) of each stem  $\geq 10$  cm  $D$  at each census, including  
162 monocotyledons which we treated in the same way as dicotyledons. We estimated AGB using the  
163 Chave et al., (2005) moist forest equation,  $AGB = \exp(-2.977 + \ln(\rho D^2 H))$ , where  $D$  is stem diameter  
164 (in cm) at reference height,  $H$  is the height of the stem (in m) and  $\rho$  is stem wood density (in  $\text{g cm}^{-3}$ )  
165 (Figure 1). Height was inferred from diameter using the regional height-diameter Weibull equation  
166 of Feldpausch et al., (2012). We estimated the wood density of individual stems using a pan-tropical  
167 database (Chave et al., 2009; Zanne et al., 2009). The most resolved taxonomic level available was  
168 used, following the method of Lewis et al., (2009), using continent-specific wood density taxon  
169 reference values.



170

171 *Figure 1: Procedure for estimating the AGB of a single stem.*

172 Diameter was measured for all stems with  $D \geq 10$  cm, using diameter tape at a height of 1.3 m, or  
 173 above buttresses or other stem deformities. When such deformities threatened to encroach the  
 174 current POM we changed to a new POM, recording the diameter at both the old and new POMs.

175 Stem taper can be estimated by the ratio of  $D$  at old POM ( $D_{old}$ ):  $D$  at new POM ( $D_{new}$ ). We used this  
 176 ratio to calculate standardised estimates of  $D_{old}$  for each census after a POM change and of  $D_{new}$  for  
 177 each census prior to a POM change, with  $D_{mean}$  denoted as the mean of  $D_{old}$  and  $D_{new}$  (Figure 2).

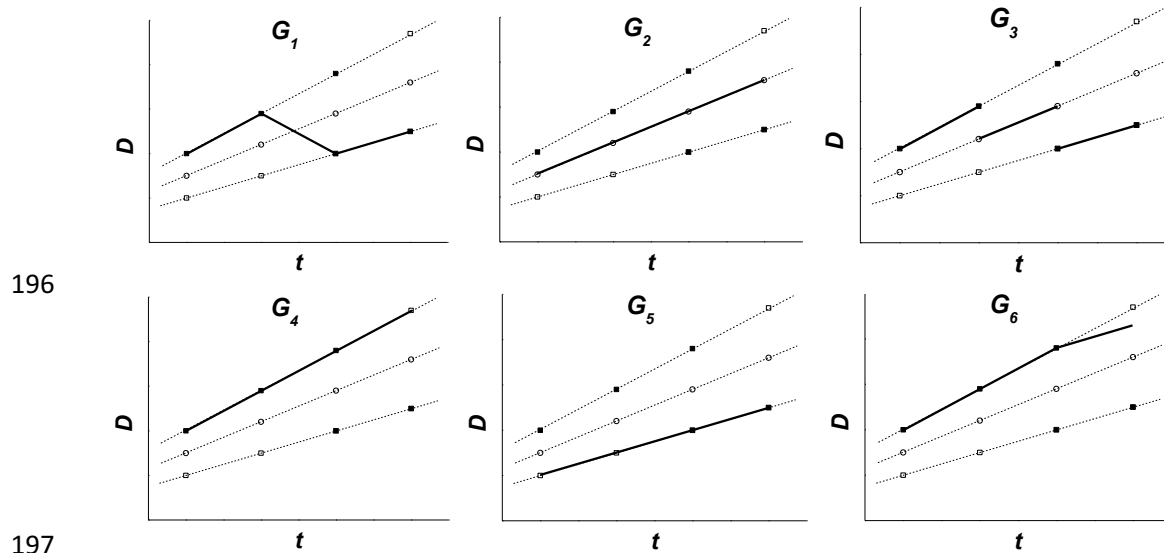
178 We used a number of techniques to avoid or minimise potential errors arising from missing diameter  
 179 values, typographical errors, or extreme  $D$  growth  $\geq 4$  cm year<sup>-1</sup> or total  $D$  growth  $\leq -0.5$  cm across a  
 180 single census interval (i.e. losing 0.5 cm, as trees may shrink by a small amount due to hydrostatic  
 181 effects in times of drought, and measurement errors can be both positive and negative). For stems  
 182 belonging to species known to experience very high growth rates, or noted as having damaged  
 183 stems, we accepted these values. We used interpolation, where possible, or extrapolation to correct  
 184 errors. If neither of these procedures were possible we used the mean growth rate of all  
 185 dicotyledonous stems in the same plot census, belonging to the same size class, with size classes



186 defined as  $10 \leq D < 20$  cm,  $20 \leq D < 40$  cm, and  $D \geq 40$  cm, to estimate the missing diameter value. Of  
187 all stem growth increments, 1.7% per census were assigned interpolated estimates of diameter, for  
188 0.9% we used extrapolated estimates, and for 1.5% we used mean growth rates.

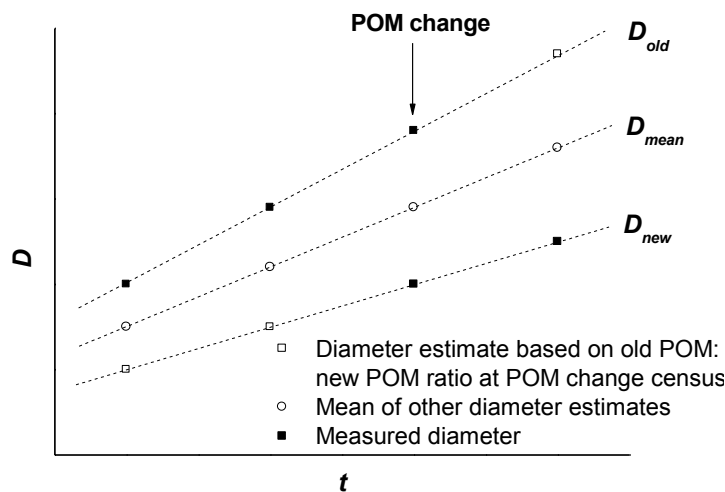
189 To estimate the AGWP of a given plot across a single census interval, we summed the change in AGB  
190 for each tree present at both the start and end of the interval, plus the AGB of new recruits present  
191 at the end of the interval, and divided the result by the interval length. Having calculated mean  
192 annual AGWP of each census interval, we then calculated mean annual AGWP across the entire  
193 period during which a given plot had been sampled, weighting the AGWP of each individual census  
194 interval by the length of the interval.

195



196

197



198

199 *Figure 2: Diameter and growth measures for a hypothetical stem which has undergone a POM*  
 200 *change. Growth measurement protocols are shown as the bold lines in the insets. G<sub>1</sub>: Uses*  
 201 *measured diameter in all censuses, regardless of POM changes; G<sub>2</sub>: Uses estimated diameter at*  
 202 *a standardised POM height ( $D_{\text{mean}}$ ) in all censuses, representing the mean of  $D_{\text{old}}$  and  $D_{\text{new}}$ ; G<sub>3</sub>:*  
 203 *Uses a combination of estimated diameter at  $D_{\text{mean}}$  in censuses with POM changes and*  
 204 *measured diameter in other censuses; G<sub>4</sub>: Uses diameter at  $D_{\text{old}}$  in all censuses; G<sub>5</sub>: Uses*  
 205 *diameter at  $D_{\text{new}}$  in all censuses; G<sub>6</sub>: After a POM change the increment at  $D_{\text{new}}$  is added to the*  
 206 *original diameter at  $D_{\text{old}}$ .*

207 We used multiple methods to estimate wood production, in response to the three problems of POM  
208 changes, census interval length, and recruitment. These included a designated ‘suggested scenario’  
209 involving corrections relating to POM changes and census interval length, and a ‘baseline scenario’  
210 that lacked these corrections. We could thereby quantify how our AGWP estimates using other  
211 method combinations deviated from these two reference cases. Since our recommended treatment  
212 of recruits itself depends on the specific question being asked by a researcher, we used the same  
213 method of treatment of recruits in both the baseline and the suggested scenarios.

## 214 2.1 TREATMENT OF POM CHANGES

215 A number of approaches for treating POM change trees were tested to explore their impact on  
216 AGWP estimates (Figure 2). Our first method provides no correction for stems with POM changes  
217 (denoted ‘ $G_1$ ’). This is used in our baseline scenario. At any given census, this is normally expected to  
218 provide the best measure of stem diameter at that particular census, and could therefore be  
219 appropriate for biomass estimation. However, when stems undergo POM changes, changing the  
220 height at which this diameter is taken, the existence of stem taper means that estimates of wood  
221 production will be biased downwards across these intervals.

222 To avoid the bias inherent in  $G_1$  and to help quantify its impact, we explored five alternatives (Figure  
223 2). In the second method, denoted ‘ $G_2$ ’, we use the estimated diameter at a standardised POM  
224 height ( $D_{mean}$ ) in all censuses, with  $D_{mean}$  representing the mean of  $D_{old}$  and  $D_{new}$ . The third method,  
225 ‘ $G_3$ ’, uses a combination of techniques from  $G_1$  and  $G_2$ . Thus, for all census intervals not involving a  
226 POM change, the directly measured diameters were used to calculate growth (as in  $G_1$ ), but for  
227 census intervals involving a POM change,  $D_{mean}$  was used to calculate growth across that interval (as  
228 in  $G_2$ ).  $G_3$  is used in our suggested scenario. Our three final techniques are similar to  $G_2$  in that they  
229 all maintain a constant POM height across all censuses for each tree. With  $G_4$  this POM is at  $D_{old}$  in all  
230 intervals, with  $G_5$  it is at  $D_{new}$  in all intervals, and with  $G_6$ , which follows the method of Clark et al.,

231 (2013), the measured diameter increment at  $D_{new}$  after a POM change is added to the original  
232 diameter at  $D_{old}$ .

## 233 2.2 TREATMENT OF DIFFERING CENSUS INTERVAL LENGTH

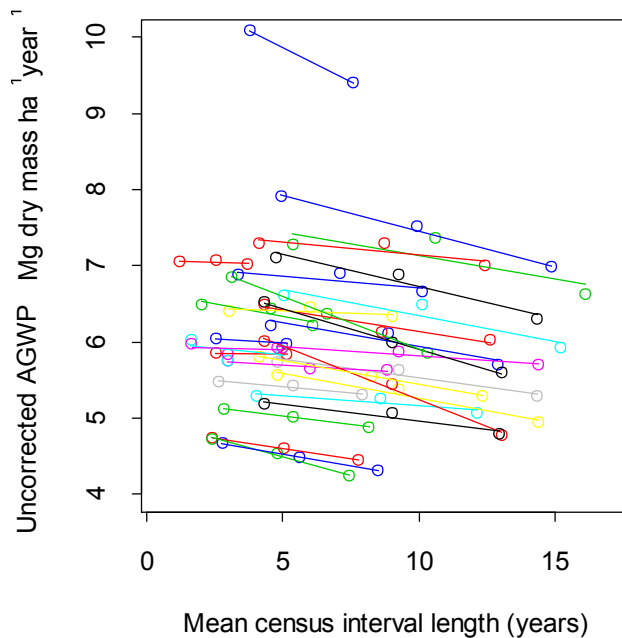
234 The longer a census interval, the greater the proportion of growth that will go unobserved within the  
235 interval. Census interval correction is required to account for two sources of error – unobserved  
236 growth from trees that were known to have died during the interval, and unobserved growth from  
237 trees that both recruited and died during the interval. We used two different methods to derive  
238 correction factors that accounted for the effects of census interval length on observed AGWP. In our  
239 results, the baseline scenario does not include any correction for census interval length, while our  
240 suggested scenario uses the second correction method.

241 First, we used a parametric technique based on the methods of Malhi et al., (2004), denoted ' $CIC_1$ ',  
242 but with the corrections applied to AGWP rather than basal area growth rates (as in Phillips et al.,  
243 2009b). For this, we calculated AGWP across all of the one-, two- and three-census periods within  
244 each plot, grouping consecutive censuses to create the two- and three-census periods. We included  
245 every possible combination of consecutive censuses within a given plot, except for those of greatly  
246 different lengths (ratios of 1: 3 or greater), which we excluded to minimise variation in the length of  
247 these intervals. Any censuses that we excluded in this way were excluded from the estimates of  
248 AGWP across all single censuses as well as the estimates of AGWP across the two- and three-census  
249 periods. We derived growth using  $G_2$  to avoid problems associated with POM changes in the two-  
250 and three-census periods.

251 We then calculated the mean length and mean annual AGWP of all of the single censuses in a plot,  
252 all of the two-census periods, and - for plots with at least four censuses – all of the three-census  
253 periods. We regressed mean annual AGWP against mean interval length separately for each plot  
254 (Figure 3) and used the resulting gradients to calculate our corrected AGWP estimates for each  
255 census interval as follows:

256  $AGWP_{corr} = AGWP_{obs} - c * t$

257 Where  $AGWP_{corr}$  is the corrected mean annual productivity,  $AGWP_{obs}$  is the observed mean annual  
 258 productivity,  $c$  is the required annual correction (the gradient in Figure 3) and  $t$  is the census interval  
 259 length, in years. For four plots in which all consecutive censuses were of greatly different lengths  
 260 (HCC-23, HCC-24, SUC-03, and TIP-01), we corrected AGWP using the mean  $c$  derived from all other  
 261 plots (-0.058).



262  
 263 *Figure 3: The census interval effect, showing how uncorrected AGWP is higher when census intervals*  
 264 *are shorter. Each line represents a single plot, with each point representing the mean*  
 265 *uncorrected AGWP of all single censuses, all possible two-census periods, or all possible three-*  
 266 *census periods within that plot, excluding consecutive censuses of greatly different lengths*  
 267 *(ratios of 1: 3 or greater).*

268 In our second method for census interval correction, denoted ' $CIC_2$ ', we used an individual stem-  
 269 based approach. Since data are collected on the growth of individual stems, the most accurate  
 270 corrections should be those that use these measurements to estimate the growth both of known  
 271 stems that die during the interval and of stems that recruit and die unobserved during the interval.

272 To estimate the growth of known stems that died during the interval, we assumed these stems to  
273 have died at the mid-point. We calculated the unobserved growth up to the mid-point using the  
274 median growth of all dicotyledonous stems in the plot within the same size class, using the size  
275 classes defined above.

276 We estimated the number of unobserved recruits ( $U_r$ ) as the product of the number of stems in the  
277 plot ( $N$ ), the time-weighted mean annual mortality rate in the plot ( $M$ ), the time-weighted mean  
278 annual recruitment rate in the plot ( $R$ ) and the census interval length ( $t$ ):  $U_r = N * M * R * t$ . Our use of  
279 time-weighted mortality and recruitment estimates representing the entire period across which a  
280 plot has been sampled reduces the impact of the variability of these processes over short time-  
281 spans. We assumed the diameter growth rate of unobserved recruits to be the median rate for  
282 dicotyledonous stems in the 10-19.9 cm size class. We chose this as a lower estimate than the size  
283 class mean growth rate or the mean growth rate of recruits, since stems are reported to have  
284 reduced growth in the months immediately prior to mortality (Chao et al., 2008). We assigned stem  
285 wood density as the same as the plot mean in that census. We assumed these stems recruited on  
286 average one-third of the way through the interval and died two-thirds of the way through the  
287 interval, allowing growth over a time period equal to one-third of the interval. The estimated  
288 unobserved growth from the known stems that died and the unobserved recruits were added to the  
289 AGWP of each census interval.

### 290 2.3 TREATMENT OF NEWLY RECRUITED STEMS

291 To estimate AGWP across a census interval, we must include the productivity of trees that surpass  
292 our minimum diameter threshold of 10 cm during the census interval, in addition to the gain in AGB  
293 of trees that were present at both censuses. The productivity of these new recruits is uncertain,  
294 since their diameter is unknown at the start of the census interval. We used three methods to  
295 quantify the productivity of new recruits.

296 For our first method, denoted ' $R_1$ ', we assumed the recruits had a diameter of 0 cm in the census  
297 prior to recruitment. This is unlikely in practice, but allows the growth of stems <10 cm  $D$  to be  
298 implicitly included in productivity estimates. For this reason it is commonly used. For our second  
299 method (' $R_2$ '), we assumed the recruits had a diameter of 10 cm in the census prior to recruitment.  
300 Note that to ensure comparability of biomass gain and loss the same 10 cm core must also be  
301 subtracted from the biomass of each dead tree when using  $R_2$ . These two methods respectively  
302 delimit the maximum and minimum possible growth rates of recruited stems.  $R_1$  is used in both our  
303 baseline scenario and our suggested scenario.

304 For our third method (' $R_3$ ') we extrapolated the growth rate of each individual stem backwards from  
305 the census immediately following recruitment. If the mean of the measured  $D$  of a newly recruited  
306 stem and our extrapolated  $D$  of the same stem in the previous census was <10 cm, we did not  
307 include growth of this stem in our measure of recruitment using  $R_3$  (i.e. we assumed zero growth  
308 across the interval for this stem), thereby following equivalent methods to delimit the lower end of  
309 the 10-19.9 cm size class as would be used to delimit any other stem size class. Where the plot had  
310 no census following recruitment, meaning we could not extrapolate growth rates of recruits, we  
311 used the 86<sup>th</sup> percentile growth rate of stems from the same plot census in the 10-19.9 cm size class,  
312 since this was found to provide the closest approximation of the mean growth of recruits. Our mean  
313 estimated stem diameter for the census prior to recruitment, excluding stems for which we assumed  
314 zero growth as explained above, was 9.74 cm.

### 315 **3 Results**

316 Our 'baseline scenario' involves ignoring POM changes, ignoring census interval length and assuming  
317 the  $R_1$  growth of recruits (from 0 cm diameter), and yields a long-term mean AGWP of 5.44 Mg dry  
318 mass ha<sup>-1</sup> year<sup>-1</sup> ( $n = 35$ ; Table 1). By contrast, our 'suggested scenario' which incorporates  
319 corrections for POM changes ( $G_3$ ) and census interval length ( $CIC_2$ ), while retaining  $R_1$  recruitment,

320 gave a mean AGWP estimate of 6.17 Mg dry mass ha<sup>-1</sup> year<sup>-1</sup> (13.4% greater). Thus, it appears that  
 321 disregarding these issues would substantially underestimate the true AGWP of these forest plots.

322 *Table 1: Mean annual AGWP across all plots. Some important combinations of methods are listed*  
 323 *first, followed by each possible remaining combination (apart from some involving G<sub>4</sub>/G<sub>5</sub>/G<sub>6</sub>)*

Method	Treatment of POM change <sup>a</sup>	Treatment of recruits <sup>b</sup>	Census interval correction <sup>c</sup>	Mean annual AGWP across all plots, with bootstrapped 95% confidence intervals (Mg dry mass ha <sup>-1</sup> year <sup>-1</sup> )
Baseline scenario	$G_1$	$R_1$	<i>Without CIC</i>	5.44 (5.12 - 5.79)
Suggested scenario	$G_3$	$R_1$	$CIC_2$	6.17 (5.82 - 6.55)
Using $D_{old}$	$G_4$	$R_1$	$CIC_2$	6.26 (5.89 - 6.63)
Using $D_{new}$	$G_5$	$R_1$	$CIC_2$	6.00 (5.66 - 6.34)
After Clark et al., (2013)	$G_6$	$R_1$	$CIC_2$	6.24 (5.87 - 6.61)
A	$G_2$	$R_1$	<i>Without CIC</i>	5.95 (5.61 - 6.32)
B	$G_3$	$R_1$	<i>Without CIC</i>	6.01 (5.65 - 6.37)
C	$G_1$	$R_2$	<i>Without CIC</i>	4.96 (4.65 - 5.29)
D	$G_2$	$R_2$	<i>Without CIC</i>	5.48 (5.13 - 5.83)
E	$G_3$	$R_2$	<i>Without CIC</i>	5.53 (5.18 - 5.89)
F	$G_1$	$R_3$	<i>Without CIC</i>	4.95 (4.64 - 5.29)
G	$G_2$	$R_3$	<i>Without CIC</i>	5.47 (5.14 - 5.83)
H	$G_3$	$R_3$	<i>Without CIC</i>	5.52 (5.16 - 5.89)
I	$G_1$	$R_1$	$CIC_1$	5.71 (5.38 - 6.08)
J	$G_2$	$R_1$	$CIC_1$	6.22 (5.87 - 6.60)
K	$G_3$	$R_1$	$CIC_1$	6.27 (5.92 - 6.66)
L	$G_1$	$R_2$	$CIC_1$	5.23 (4.91 - 5.59)
M	$G_2$	$R_2$	$CIC_1$	5.74 (5.40 - 6.10)
N	$G_3$	$R_2$	$CIC_1$	5.79 (5.44 - 6.18)
O	$G_1$	$R_3$	$CIC_1$	5.22 (4.90 - 5.58)
P	$G_2$	$R_3$	$CIC_1$	5.73 (5.39 - 6.10)



Q	$G_3$	$R_3$	$CIC_1$	5.79 (5.43 - 6.17)
R	$G_1$	$R_1$	$CIC_2$	5.61 (5.29 - 5.96)
S	$G_2$	$R_1$	$CIC_2$	6.12 (5.78 - 6.47)
T	$G_1$	$R_2$	$CIC_2$	5.11 (4.81 - 5.45)
U	$G_2$	$R_2$	$CIC_2$	5.63 (5.30 - 5.99)
V	$G_3$	$R_2$	$CIC_2$	5.68 (5.34 - 6.04)
W	$G_1$	$R_3$	$CIC_2$	5.11 (4.79 - 5.45)
X	$G_2$	$R_3$	$CIC_2$	5.62 (5.29 - 5.98)
Y	$G_3$	$R_3$	$CIC_2$	5.68 (5.33 - 6.04)

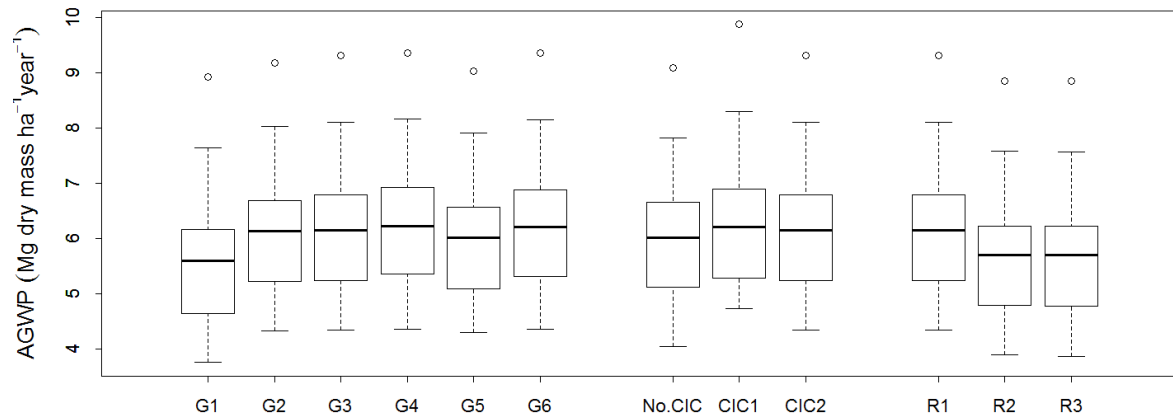
324 <sup>a</sup>  $G_1$ : No correction for POM changes;  $G_2$ : Uses standardised POM height at  $D_{mean}$  in all censuses;  $G_3$ : Uses  
 325 combination of diameter at  $D_{mean}$  in censuses with POM changes and directly measured diameters in other  
 326 censuses;  $G_4$ : uses diameter at  $D_{old}$  in all censuses;  $G_5$ : uses diameter at  $D_{new}$  in all censuses;  $G_6$ : after a POM  
 327 change the increment at  $D_{new}$  is added to the original diameter at  $D_{old}$ .

328 <sup>b</sup>  $R_1$ : Assumes recruits have a diameter of 0 cm in the census prior to recruitment;  $R_2$ : Assumes recruits have a  
 329 diameter of 10 cm in the census prior to recruitment;  $R_3$ : Extrapolates stem growth rates backwards from the  
 330 census following recruitment.

331 <sup>c</sup>  $CIC_1$ : Parametric correction for census interval length;  $CIC_2$ : Stem-by-stem correction for census interval  
 332 length.

### 333 3.1 EFFECT OF POM CHANGE PROTOCOL

334 When census-interval corrections and recruitment are treated as in the suggested scenario ( $CIC_2$ ,  $R_1$ ),  
 335 but diameter is used as measured in the field ( $G_1$  protocol), i.e. ignoring the effect of POM changes,  
 336 estimated mean annual AGWP is 5.61 Mg dry mass ha<sup>-1</sup> year<sup>-1</sup>, 9.2% lower than the suggested  
 337 scenario (which uses  $G_3$ ). By contrast, if instead growth is based on the mean of growth at the new  
 338 and old POM ( $G_2$ ), annual AGWP across our plots is estimated as 6.12 Mg dry mass ha<sup>-1</sup> year<sup>-1</sup>, just  
 339 0.9% lower than the suggested scenario (Figure 4). Alternatively, using a fixed POM at  $D_{old}$  ( $G_4$ )  
 340 produces a mean annual AGWP of 6.26 Mg dry mass ha<sup>-1</sup> year<sup>-1</sup>, a fixed POM at  $D_{new}$  ( $G_5$ ) gives 6.00  
 341 Mg dry mass ha<sup>-1</sup> year<sup>-1</sup>, and adding the diameter increment at  $D_{new}$  to the original diameter at  $D_{old}$   
 342 ( $G_6$ ) yields 6.24 Mg dry mass ha<sup>-1</sup> year<sup>-1</sup>.



343  
 344 *Figure 4: Variation in mean annual AGWP (Mg dry mass ha<sup>-1</sup> year<sup>-1</sup>) with method choice. Each group*  
 345 *of boxplots shows the effect of changing a single factor, with the other methods based on the*  
 346 *standard suggested scenario in which corrections for both POM changes (G<sub>3</sub>) and census*  
 347 *interval length (CIC<sub>2</sub>) have been made. From left to right, the single factors are POM change*  
 348 *protocol, method of census interval correction, and treatment of recruits.*

349 The impact of POM changes is linked to the total length of the sampling period. As trees grow and  
 350 time elapses, the greater the proportion of stems that will have undergone POM changes. By the  
 351 final census, on average 16.8 years after the initial census, a mean of 10.5% of stems present have  
 352 had their POM changed. Nevertheless, the impact of POM changes does not appear to be linked to  
 353 mean interval length or baseline scenario productivity (SI Figure S1).

### 354 3.2 EFFECT OF CENSUS INTERVAL CORRECTION

355 The length of census intervals also has a noticeable impact on productivity estimates. Without  
 356 correcting for census interval length, mean AGWP (using G<sub>3</sub> and R<sub>1</sub>) is estimated at 6.00 Mg dry mass  
 357 ha<sup>-1</sup> year<sup>-1</sup>, 2.7% less than our suggested stem-by-stem method (CIC<sub>2</sub>), which gives an estimate of  
 358 6.17 Mg dry mass ha<sup>-1</sup> year<sup>-1</sup>. When parametric (CIC<sub>1</sub>) rather than stem-by-stem census interval  
 359 corrections are applied, AGWP is estimated at 6.27 Mg dry mass ha<sup>-1</sup> year<sup>-1</sup> (Figure 4).

360 The corrections applied in each plot using method  $CIC_1$  are shown in Figure 3. Dividing the gradients  
361 in this graph by the mean uncorrected AGWP values in each plot, we derive a simple formula that  
362 shows the mean proportional annual correction:

$$363 \quad AGWP_{corr} = AGWP_{obs} + 0.0091 AGWP_{obs} * t$$

364 Where  $AGWP_{corr}$  is the corrected mean annual productivity and  $AGWP_{obs}$  is the observed mean  
365 annual productivity within a census interval of length  $t$ , in years. This gives a correction of 0.91% per  
366 census-interval year. Using either method of census interval correction, the corrections appear  
367 closely related to interval length (SI Figure S2).

### 368 3.3 EFFECT OF TREATMENT OF RECRUITS

369 When growth of recruits is assumed to start from 10 cm  $D$  at the time of the previous census ( $R_2$ ),  
370 rather than from 0 cm  $D$  ( $R_1$ ), mean AGWP falls 7.9% to 5.68 Mg dry mass  $ha^{-1} year^{-1}$  (Figure 4). The  
371 difference in estimated AGWP between  $R_1$  and  $R_2$  will be greatest when AGWP is low and when mean  
372 interval length is long, since under these circumstances recruits comprise the highest proportion of  
373 total wood production (SI Figure S3). Considering solely the productivity of the recruits, with  $R_1$   
374 mean annual AGWP of recruits was 0.73 Mg dry mass  $ha^{-1} year^{-1}$ , while switching to  $R_2$  reduced this  
375 by 65.7% to 0.25 Mg dry mass  $ha^{-1} year^{-1}$ . Back-extrapolation of individual stem growth rates from  
376 later censuses ( $R_3$ ) produces a mean AGWP of 5.68 Mg dry mass  $ha^{-1} year^{-1}$ , similar to  $R_2$  and 8.1%  
377 lower with  $R_1$ , with 0.24 Mg dry mass  $ha^{-1} year^{-1}$  for the recruits only.

## 378 4 Discussion

379 We show that the choice of methods for estimating AGWP can have an important impact on the  
380 values obtained, with mean AGWP from our baseline scenario and suggested scenario differing by  
381 13.4%. This becomes especially important when estimating AGWP across long periods, since  
382 potential sources of bias tend to increase with time. Here we discuss problems related to POM  
383 changes, census interval corrections and recruited stems in turn.

384 Changes in the point of measurement of stems are made in response to buttress growth, but pose a  
385 challenge for interpreting long-term tree measurement data. For census intervals with POM  
386 changes, use of directly measured diameters as in  $G_1$  does not provide an appropriate measure of  
387 growth because it involves comparing diameters at different points along a tapering trunk (Niklas  
388 1995). Using a fixed POM across these intervals (i.e. same measurement height at the start and end  
389 of the census), as we did in  $G_2$  and  $G_3$ , gives a more appropriate measure of growth. Of all the  
390 methodological variants we tested, the greatest single impact on AGWP estimates was caused by  
391 incorrect use of  $G_1$  instead of using a protocol to account for the impact of POM changes.

392 There are several potential methods of correcting for POM changes. In the  $G_2$  protocol,  $D_{mean}$  is used  
393 for all census intervals, not just those involving POM changes. Our diameter estimates at new POMs  
394 for the censuses prior to a POM change, and at old POMs for the censuses following a POM change,  
395 rely on the assumption of an unchanging old POM: new POM ratio. This may add some uncertainty,  
396 since the degree of stem taper can change during ontogeny (Metcalf et al., 2009), but has the  
397 advantage of internal consistency in providing an estimate of tree diameter and growth at an  
398 unvarying location through time, and this internal consistency is potentially helpful for analysis of  
399 biomass dynamics. Fixing the POM at either  $D_{old}$  ( $G_4$ ) or  $D_{new}$  ( $G_5$ ) is conceptually similar to  $G_2$ , with  
400 these techniques being, respectively, slightly less or more conservative with regard to growth  
401 estimates. Adding instead the diameter increment at  $D_{new}$  to the original diameter at  $D_{old}$  ( $G_6$ , used  
402 by Clark et al., (2013)) provides a further means to correct for POM changes that in effect fixes the  
403 POM height. The  $G_3$  protocol has the advantage of maximising the use of actual diameter  
404 measurements taken in the field (i.e., for all censuses except those involving POM changes) which  
405 lends itself to among-site comparisons of stand-level AGWP.

406 While there are subtle differences between each of these approaches, all five of the POM-change  
407 analytical methods produce rather similar estimates of AGWP. All five contrast sharply to the use of  
408 directly measured diameters throughout, which clearly underestimates productivity. By contrast to  
409 our methods based on stem characteristics, a promising site-specific approach has been developed

410 to deal with these challenges involving species-based Bayesian models to represent stem taper and  
411 diameter growth rates (Metcalf et al., 2009), but this is unlikely to be feasible when dealing with  
412 large numbers of rare tropical species across multiple sites, for which sufficient data to calibrate  
413 stem taper may not be available.

414 A second set of challenges with deriving AGWP estimates relates to their sensitivity to the length of  
415 measurement interval. Most trees that die will nevertheless still have grown since the last census  
416 before dying; similarly some trees will both recruit and die, unmeasured, within a single census  
417 interval (Sheil & May 1996). The failure to observe the full growth of these stems affects mortality  
418 estimates as well as productivity estimates, and when calculating net fluxes corrections can be made  
419 to mortality that are equivalent to the corrections to productivity that we present here.

420 Our two different census-interval correction methods both produced results relatively close to the  
421 0.67% median annual correction (with range 0.04 – 1.39%) derived by Malhi et al., (2004). Of the  
422 two methods, the individual-stem based method ( $CIC_2$ ) has the potential to provide the most  
423 accurate corrections, reflecting real fluctuations in mortality rates and making the maximum use of  
424 the available data. This method works for a single interval and is not dependent on a large dataset to  
425 provide accurate parameter estimates.

426 Nevertheless,  $CIC_2$  remains subject to uncertainties. Several authors have reported that stems grow  
427 at below-average rates in the years or months prior to mortality (Bigler and Bugmann, 2003; Chao et  
428 al., 2008; Vasconcelos et al., 2012; Wyckoff and Clark, 2002). Similarly, unobserved recruits that die  
429 may have lower than average taxon-level wood density, as this has been shown to be a predictor of  
430 mortality (Chao et al., 2008; Kraft et al., 2010). Both these factors may cause our assumed growth in  
431  $CIC_2$  to be too high, although we deal with this by using median growth estimates for the unobserved  
432 growth of known stems that die and of unobserved recruits, as explained above. However, there are  
433 also reasons suggesting that growth in  $CIC_2$  is underestimated, due to the above-average diameter  
434 growth rates typical of high turnover, low wood density species. On balance, since  $CIC_2$  on average

435 gives slightly lower growth than  $CIC_1$ , our assumed growth in  $CIC_2$  appears if anything to be slightly  
436 conservative.

437 A third persistent challenge to estimating forest AGWP results from stems in inventory plots not  
438 being measured until they reach a certain diameter threshold, one of the most common being 10  
439 cm. Moving to a lower threshold would not benefit the interpretation of existing long-running  
440 datasets, and even in inventory plots with 1 cm  $D$  thresholds (Chave et al., 2008) the problem  
441 remains conceptually equivalent, although the potential range of AGWP values associated with the  
442 treatment of recruits is naturally greatly reduced. Assuming growth from 0 cm ( $R_1$ ) typically  
443 overestimates the actual growth of the stem in that interval, since it normally takes many years for a  
444 stem to reach a diameter of 10 cm. Backwards extrapolation of growth rates of recruited stems ( $R_3$ )  
445 produces plot-level AGWP very similar to estimates made assuming growth from 10 cm ( $R_2$ ).

446 Although  $R_3$  provides the most accurate measure of the growth of an individual recruit across the  
447 relevant census interval, it is difficult to ensure comparability of biomass gain and loss using this  
448 method, due to the stem-specific minimum diameters used.

449 In comparison to the other methods,  $R_1$  allows for an implicit partial inclusion of the growth of stems  
450 below the minimum diameter threshold. Nevertheless, it must be recognised that AGWP estimates  
451 made using  $R_1$  fail to include the productivity of stems that die before reaching 10 cm  $D$  (Malhi et al.,  
452 2004). For this reason, the  $R_1$  protocol is not equivalent to the use of a lower diameter threshold. Yet  
453  $R_1$  remains a closer approximation of true AGWP (no lower threshold) than our other methods.

454 Due to the considerations outlined above, the choice of method for correcting the problem of  
455 unobserved growth from recruited stems is in some senses more complex than for the other two  
456 factors we investigated. On balance, especially if the aim is to provide an approximation of total  
457 AGWP and to contribute to estimating stand-level fluxes and stocks, then  $R_1$  is preferred. Method  $R_2$   
458 is suggested in two situations. Firstly, if productivity is being compared to other stand attributes or  
459 functions classified by size class, then method  $R_2$  may enable equivalency in the samples used for

460 each variable. Secondly, using  $R_2$  can reduce bias caused by temporal fluctuations in recruitment  
461 rates. The accuracy of AGWP estimates made using  $R_1$  depends on the length of time across which  
462 mean rates are calculated. If analysing variability in growth rates from one census interval to the  
463 next, AGWP may be unduly influenced by the number of stems which happen to pass the 10 cm  
464 threshold during a given interval. Therefore  $R_2$  may be preferred for the analysis of short-term  
465 variability in AGWP.

## 466 **5 Conclusion**

467 The protocols described here provide a set of suggested methods for estimating AGWP that can  
468 minimise the influence of a number of known time-sensitive biases (relating to POM changes,  
469 unobserved growth within census intervals and the treatment of newly recruited stems), and which  
470 may be broadly applicable to long-term forest plot data. In western Amazonia these corrections  
471 increase estimates of AGWP by 13.4% compared to the baseline scenario in which these  
472 measurement problems are ignored. The largest bias observed was that associated with ignoring  
473 POM changes which results in large underestimates of AGWP; correction methods differ but tend to  
474 provide broadly similar results. Census interval corrections are also often necessary for more  
475 accurate AGWP estimation. The associated underestimation of AGWP increases with interval length,  
476 thus corrections are needed to compare data from plots with differing census interval lengths.  
477 Assumptions relating to recruits depend on the specific question being asked. Assuming recruits  
478 grew from 0 cm in the previous census interval likely provides a closer approximation of total AGWP  
479 than other methods, but other procedures may be more relevant to the specific questions  
480 addressed. Together, we hope these suggested techniques will help to improve the quantification of  
481 aboveground coarse woody production and the comparability of future studies.

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